U.S. Department of Education
Office of Postsecondary Education
Washington, D.C. 20202-5335

APPLICATION FOR GRANTS UNDER THE

STRENGTHENING INSTITUTIONS PROGRAM
CFDA # 84.031A

AMERICAN INDIAN TRIBALLY CONTROLLED COLLEGES AND UNIVERSITIES
CFDA # 84.031T

ALASKA NATIVE-SERVING INSTITUTIONS PROGRAM
CFDA # 84.031N

AND THE

NATIVE HAWAIIAN-SERVING INSTITUTIONS PROGRAM
CFDA # 84.031W

January, 2000

Dear Applicant:

We are pleased to provide this application booklet to institutions of higher education who wish to apply for a fiscal year (FY) grant under the Title III, Part A Strengthening Institutions Program, the American Indian Tribally Controlled Colleges and Universities Program and the Alaska Native and Native Hawaiian-Serving Institutions Program. These programs, authorized under Title III, Part A of the Higher Education Act of 1965, as amended, are designed to assist eligible institutions of higher education to increase their self-sufficiency by providing funds to improve academic programs, institutional management and fiscal stability.

An eligible institution of higher education may apply for either a one-year planning grant or a five-year development grant under the Title III, Part A Programs. In applying for a five-year development grant under Title III, Part A an institution may submit applications as an individual institution and as part of a cooperative arrangement.

An institution that meets the specific eligibility requirements for the Title III, Part A Programs may submit applications for five-year development grants under both the population-specific program and the Strengthening Institutions Program. However, such institution may receive only one five-year development grant under Title III, Part A.

Note: We have developed the capability to distribute, receive, and process planning grant applications electronically. For instructions on electronic submission of planning grants, please refer to the Notice Inviting New Awards located in Appendix I.

In order to receive a grant under Title III Part A, an institution of higher education must have applied for and received "designation as an eligible institution". The Department announced applications for the eligibility process in the Federal Register on December 30, 1999.

All applicants should review the regulatory selection criteria for new grants, found in 34 CFR part 607, sections 607.21 and 607.22, located in Appendix III of this booklet. Applicants for development grants under the American Indian Tribally Controlled Colleges and Universities program and the Alaska Native and Native Hawaiian-Serving Institutions Program should review the additional eligibility and application requirements found in sections 316 and 317 of the HEA, located in Appendix II of this booklet.

Applicants for a five-year development grant must provide detailed budget information for all five years. We will determine the funding levels for each of the five years of the grant award at the time of the initial award. However, funding for years two through five

will be contingent on Congress appropriating sufficient program funds and on grantees showing significant project progress in their annual performance reports.

I urge you to carefully read all the information contained in this application booklet - including the Appendices -- before preparing your application.

If you have questions, please contact the program staff, at (202) 502-7777.

Best regards,

Claudio R. Prieto
Deputy Assistant Secretary
  for Higher Education Programs

** TABLE OF CONTENTS **

GENERAL INFORMATION

Title III, Part A of the Higher Education Act of 1965, as amended (HEA) authorizes the Strengthening Institutions Program and the American Indian Tribally Controlled Colleges and Universities Program, the Alaska Native-Serving Institutions Program, and the Native Hawaiian-Serving Institutions Program. These programs are designed to assist eligible institutions of higher education to increase their self-sufficiency by providing funds to improve academic quality, institutional management, and fiscal stability.   A copy of the HEA is located in Appendix II of this booklet.

DESIGNATION AS AN ELIGIBLE INSTITUTION

Only an institution that qualifies as eligible institution of higher education under Title III of the HEA, as defined by the program regulations, 34 CFR Part 607, specifically sections 607.2 - 607.5, may receive a grant award under Title III, Part A.   A copy of the program regulations is located in Appendix III of this booklet.

The process for obtaining designation as an eligible institution is separate and apart from the process for applying for a grant award. An institution must submit its request for designation as an eligible institution at the time and in the manner prescribed by the Secretary. The process and deadline for submission of applications for designation as an eligible institution for purposes of Fiscal Year (FY) 2000 Title III, Part A grant awards was announced in the Federal Register on December 30, 1999.

TYPE OF AWARDS

The Secretary awards planning grants and development grants under the Title III, Part A programs. Institutions may receive an individual planning grant or a development grant.

An institution may not submit more than one application for an individual development grant under Title III, Part A. However, an institution may submit a grant application for an individual development grant and an application for a cooperative arrangement development grant.

The exception to this rule is: A Tribally Controlled College or University or an Alaska Native-Serving or Native Hawaiian-Serving Institution may submit one development grant application under the Strengthening Institutions Program and one development grant application under the specific program for such institution. However, the institution may receive only one grant award under Title III, Part A – either a grant award under the Strengthening Institutions Program or a grant award under the population-specific Program.

An institution may not apply as part of more than one cooperative arrangement.

<u>PLANNING GRANT AWARD</u>

A planning grant is used to assist an institution in preparing a Comprehensive Development Plan (CDP) and an application for a development grant under the Title III, Part A programs.

<u>DEVELOPMENT GRANT AWARD</u>

A development grant supports efforts designed to resolve institutional problems identified in an applicant institution's CDP. A development grant is designed to enable the institution to strengthen its academic quality, institutional management, and fiscal stability.

GRANT DURATION

<u>PLANNING GRANTS</u>

An institution may apply for a one-year planning grant under the Strengthening Institutions Program, and may receive only one planning grant. An institution that receives a planning grant is not guaranteed that the Department will fund a subsequent application for a Title III, part A program development grant. An institution need not apply for a planning grant before applying for a development grant.

<u>DEVELOPMENT GRANTS</u>

An institution may receive a development grant for a period of five years.

*** WAIT-OUT PERIOD ****

An institution that received a five-year development grant under Title III, Part A, is not eligible to receive an additional Part A grant until two years after the date on which the five-year grant terminates.

ALLOWABLE AND UNALLOWABLE ACTIVITIES AND COSTS

The applicant may propose to conduct one activity or more than one activity under a development grant. If the institution submits an application with more than one activity, the activities need not relate to one another. The institution may propose that separate activities begin and end at different dates, and that the duration of activities be different. To obtain a thorough understanding of the types of activities and costs allowed under a grant - and not allowed - review the program regulations in 34 CFR 607.10 and 607.30, located in Appendix III.

In accordance with program regulations, the institution may use a grant for the following activities:

Planning grant funds may be used to address one, twofold activity:

- Formulation of a Comprehensive Development Plan (CDP), including identification and analysis of the institution's major problems; and,
- Preparation of the five-year development grant project.

Development grant funds may be used to address a wide variety of activities. The authorized activities are listed in the HEA, located in Appendix II, and include:

- Establishment or increase of endowment fund – *See* discussion, on page 7.
- Faculty development;
- Funds and administrative management;
- Development and improvement of academic programs;
- Acquisition of equipment for use in strengthening management of funds;
- Acquisition of equipment for use in strengthening academic programs;
- Student services;
- Joint use of facilities, such as libraries and laboratories; and,
- Other activities that will promote growth and self-sufficiency.

NOTE: The HEA provides authorized activities for the Strengthening Institutions Program, the American Indian Tribally Controlled Colleges and Universities Program, the Alaska Native-Serving Institutions Program, and the Native Hawaiian-Serving Institutions Program. Please review the appropriate statutory provisions, located in Appendix II.

An institution may not use development grant funds for intensive planning activities. As part of developing the CDP and the grant award application, it is presumed that the institution has analyzed the major problems affecting it, and designed specific strategies to attack and possibly resolve these problems. An institution should be ready to carry out the proposed development grant project upon receipt of a grant award.

USE OF GRANT AWARD FUNDS FOR ENDOWMENTS

An institution may use up to 20% of the development grant funds awarded under the Strengthening Institutions Program and the American Indian Tribally Controlled Community Colleges and Universities Program for its endowment fund.

The purpose of allowing an institution to use a portion of the grant monies for its endowment fund is to assist an institution in establishing or increasing its endowment fund, to provide additional incentives to promote fund raising activities, and to foster increased independence and self-sufficiency of the institution.

If the institution proposes to use a portion of the grant award funds for endowment, the institution must complete FORM ED-851A-6, and return it with the application.

Matching and Investing Endowment Funds

A grantee under the Strengthening Institutions Program and the American Indian Tribally Controlled Colleges and Universities may use up to 20 percent of a development grant award to establish or increase an endowment fund. The grantee must provide matching funds from non-Federal sources of at least one dollar for every dollar of grant funds.

An institution must invest the total amount - grant funds and matching funds - for 20 years. During the 20-year period, the institution may spend up to 50% of the cumulative income (appreciation, interest and dividends) earned on the investment. At the end of the 20 years, the institution may spend both the principal and the income. An applicant for development grants under the Strengthening Institutions Program or American Indian Tribally Controlled Colleges and Universities Program that plans to use grant funds for endowment purposes must complete ED FORM 851A-6 and return it with the application.

TIE-BREAKER MECHANISM

The program regulations provide a tie-breaker mechanism, 34 CFR 607.23(b), located in Appendix III, which the Department will use, if needed, to determine which institution(s) will receive an award in instances where two or more institutions have the same score and funds are insufficient to fund all institutions. Under the tiebreaker mechanism, we award up to three points to applicants that submit data demonstrating that the institution:

(1)   has an endowment fund for which the market value, per full-time equivalent (FTE) student, is less than average market value, per FTE student, at similar type institutions;

(2)   has expenditures for library materials, per FTE student, which are less than the average such expenditures at similar institutions; or

(3)   proposes to carry out one or more of the activities listed in 34 CFR 607.23(b)(3)(i)-(vi).

If a tie still remains after applying the criteria in (1), (2), and (3), we use an extended tiebreaker mechanism. We rank highest those institutions whose combined library expenditures and endowment values per full time equivalent student are the lowest.

Make sure that the institution fills out the second page of the Application for Federal Educational Assistance Form (ED 424) that requires information from the institution about enrollment, library expenditures and endowment value.

PERFORMANCE REPORTS

An institution that receives a development grant award must report on the progress that it makes in meeting the goals of the project, and the timeline set forth in the grant application. A progress report is required annually. An institution interested in reviewing a copy of the annual performance report should call (202) 502-7777 and request a copy of the report (OMB No. 1880-0538).

An institution that receives a grant award must submit a final performance report within 90 days of the completion or termination of the project period.

Planning grant recipients must delineate the extent to which the institution instituted a planning process and the benefits of that process, in the final report.

Development grant recipients must report the extent to which they achieved the objectives of the development activities, and the impact of the activities on institutional growth and self-sufficiency. In addition, the grantee must report the extent to which it institutionalized the funded activities as part of its regular program.

In order to be prepared to submit a quality final report, an institution should establish measurable objectives in its application for a grant award, and should include objectives that are defined in terms of the results or outcomes expected for each activity. The institution's application should include an evaluation plan that will assist it in comparing "what was" to "what is", that will document performance outcomes, and assess the impact of the project on institutional development.

The "Final Performance Report" booklet, OMB Number 1840-0649, contains the specific requirements for submitting a final report. Interested persons may obtain a copy of this booklet, by phoning (202) 502-7777.

Please review the discussion of the Government Performance and Result Act, located in Appendix XXI.

GENERAL INSTRUCTIONS

REVIEWING THE APPLICATION BOOKLET

Before developing an application, please read all the materials contained in this application booklet, including the appendices. The Higher Education Amendments of 1998 made substantive changes to Title III, Part A – including the addition of the American Indian Tribally Controlled Colleges and Universities Program and the Alaska Native and Native Hawaiian-Serving Institutions Program.

PREPARING THE NARRATIVE

- Type all narratives in font size 12, double-spaced (except for the project abstract) on plain, white or off-white, bond paper.
- Do not type on the back of pages.
- Type the name of the institution and the state in which it is located at the top of each page. *E.g.*, "Cedar University, PA".
- Number the pages consecutively, with the Application for Federal Education Assistance Form (ED 424) - being labeled, "page 1". ED 424 will serve as the cover page for the application.

PREPARING THE FORMS

Complete all required forms. Read carefully the instructions provided for each form and provide all requested information. Feel free to duplicate copies of any forms contained in this booklet or to construct the form yourself on your computer.

ASSEMBLING THE APPLICATION

Submit your application in a spiral bound format or other bound format that will ensure that the application stays intact, and that no pages are lost during the handling and review processes. DO NOT SUBMIT YOUR APPLICATION IN A 3-RING BINDER. Assemble the application as follows:

PLANNING GRANT
UNDER THE TITLE III PART A PROGRAMS

1. Application for Federal Education Assistance Form (ED 424)
2. Table of Contents
3. Institutional Narrative
4. Planning Process Narrative, including Implementation Strategy and Timetable Form (ED 851A-3)
5. Summary Budget Form (ED 524)
6. Other Budget Information Form (ED 851A-5)
7. Assurances and Certification forms

DEVELOPMENT GRANT
UNDER THE STRENGTHENING INSTITUTIONS PROGRAM, THE AMERICAN INDIAN TRIBALLY CONTROLLED COLLEGES AND UNIVERSITIES PROGRAM, THE ALASKA NATIVE-SERVING INSTITUTIONS PROGRAM, AND THE NATIVE HAWAIIAN-SERVING INSTITUTIONS PROGRAM

1. Application for Federal Education Assistance Form (ED 424)
2. Project Abstract
3. Table of Contents
4. Institutional Narrative
5. Comprehensive Development Plan Narrative, including:
   - Analysis of Strengths, Weaknesses and Significant Problems and Description of the Analysis Process;
   - Key, Overall Goals for the Institution;
   - Measurable Objectives for the Institution;
   - Institutionalizing Practices and Improvements; and
   - Brief Description of Prior Title III Support and Ranking of Proposed Activities
6. Proposed Activity Number 1 Narrative including:
   - Objectives and Performance Indicators Form (ED 851A-2)
   - Narrative Describing Objectives Related to CDP Problem(s)
   - Implementation Strategy and Timetable Form (ED 851A-3)
   - Narrative Of Rationale for Chosen Implementation Strategy
   - Position Descriptions/Resumes of Key Personnel
   - Activity Budget Form (ED 851A-4)
   - Other Budget Information Form (ED 851A-5)
7. If there is more than one activity, repeat item 6., above for each activity.
8. Project Management and Evaluation Plan Narrative including:
   - Activity Budget Form (ED 851A-4)
   - Other Budget Information Form (ED 851A-5)
9. Summary Budget Form (ED 524);
10. Other Budget Information Form (ED 851A-5) for summary budget; and
11. Assurances and Certification Forms.

In addition, the following materials should be submitted – if applicable:

* Assurance of Intent to Use Funds For Endowment (ED 851A-6)
  * Assurance of Eligibility as a Alaska Native Serving Institution (ED 851A-7)
  * Assurance of Eligibility as a Native Hawaiian Serving Institution (ED 851A-8)
- Five year plan required for applications under the Tribally Controlled College and University Program and the Alaska Native and Native Hawaiian-Serving Institutions Program

COOPERATIVE ARRANGEMENT DEVELOPMENT GRANT UNDER THE STRENGTHENING INSTITUTIONS PROGRAM, THE AMERICAN INDIAN TRIBALLY CONTROLLED COLLEGES AND UNIVERSITIES PROGRAM, THE ALASKA NATIVE-SERVING INSTITUITONS PROGRAM, AND THE NATIVE-HAWAIIAN SERVING INSTITUIONS PROGRAM

Submit the application with the same materials, identified above.

Immediately after the Project Abstract (item 2, above) insert the following items:
2.A. Cooperative Arrangement Form (ED 851A-1);
2.B. Letters of Commitment; and
2.C. Justification for Funding Under A Cooperative Arrangement.

SUBMITTING THE APPLICATION

Submit the original application, with the original signature of the institution's president in the appropriate space on the Application for Federal Education Assistance Form (ED 424), and two copies to the Application Control Center in accordance with the "Application Transmittal Instructions", located in Appendix XXIII. **Only the Application Control Center may accept applications for Department of Education grants.** Do <u>not</u> send your application to any other government official or any office. The Application Control Center will acknowledge receipt of the application by sending the institution a post card, including a project number assigned to the application. *E.g.*, "PO31A555."

INTERGOVERNMENTAL REVIEW

The Strengthening Institutions Program and the Alaska Native and Native Hawaiian Serving Institutions Program are subject to Executive Order 12372, Intergovernmental Review of Federal Programs. *See,* Appendix XVIII. Included in this booklet as Appendix XIX, is a listing of the State Single Point of Contact for intergovernmental review. If your State is not listed, it does not require intergovernmental review, and the institution need do nothing. If your State is listed, contact the person identified by your state to find out the procedure the institution must follow for getting state review of your application. If your institution is a tribally controlled college or university – regardless of whether the institution is applying for a grant under the Strengthening Institutions Program or the American Indian Tribally Controlled Colleges and Universities Program, the institution is not subject to intergovernmental review, and the institution need not contact the State.

PAPERWORK BURDEN STATEMENT

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0114. The time required to complete this information collection is estimated to average 40 hours per response for planning grant applicants, and 80 hours per response for development grant applicants, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments or concerns regarding the accuracy of the time estimate (s) or suggestions for improving this form, please write to : U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Institutional Development and Undergraduate Education Service, Office of Postsecondary Education, U.S. Department of Education, 1990 K Street, NW, 6th Floor, Washington, D.C. 20006-8513.

TITLE III PART A PROGRAMS
PLANNING GRANT
APPLICATION INSTRUCTIONS

In a planning grant application, the institution of higher education describes the planning process by which it will prepare a Comprehensive Development Plan (CDP) and an activity that could be funded under a Title III, Part A development grant. It is important that the applicant describe the specific planning process in a concise and accurate manner.

Only an individual institution may apply for a planning grant: a cooperative arrangement of multiple institutions is not eligible.

Review the regulatory selection criteria, 34 CFR 607.21, located in Appendix III, to ensure the application for a planning grant application addresses the following areas:

NOTE: The Department suggests that institutions limit the length of their applications for planning grants to 30 pages. See page 10 for type requirements.

INSTITUTIONAL NARRATIVE

In the institutional narrative, introduce the college or university to the reader through a description of its most prominent features.

Include the institution's mission, level (2-year/4-year), control (private/public), service area, current program offerings, student characteristics, enrollment figures and trends, and any other information you deem important.

PLANNING PROCESS NARRATIVE

Comprehensively describe, in narrative form, the planning process -- a series of actions or steps -- that the institution will use to develop the CDP and the rest of the development grant application. Using the Implementation Strategy and Timetable Form (ED 851A-3), chart the major tasks involved in this planning process. Then explain the rationale for the selected planning process as a way of showing the process is based on sound state-of-the-art planning practice and is very likely to achieve its intended results.

Describe how the institution will involve, systematically and consistently, the president or chief executive officer, administrators, faculty, staff, students, and governing board members in pertinent phases of the planning process.

Describe the institutional resources, including personnel, facilities, monies, or the like, that the institution will use to carry out the planning process successfully.

KEY PERSONNEL

Identify, in narrative form, the key personnel who will perform the project tasks. The institution should address two accountability factors:
- (1) the suitability of qualifications, including past experience and training, of key project personnel to perform the proposed tasks; and
- (2) the adequacy of time each key person will commit to performing these tasks.

Provide a position description for each key position that grant funds will support, and include resumes of any proposed key project personnel currently employed at the institution. The position description should describe the level of qualifications that will be required and the percentage of the time that the person will allot to the project.

If the institution proposes to use a consultant, include a position description and explain the reason why the institution is using a consultant, rather than/in addition to the institution's personnel.

MANAGEMENT PROCEDURES

Describe, in narrative form, the procedures the institution will use to manage, facilitate and monitor the planning process, the formulation of the CDP and the preparation of the rest of the development grant application. Include the provisions for gathering and reporting project information to appropriate decision-makers at the institution.

Provide evidence that the project coordinator will have sufficient administrative authority, including access to the president or chief executive officer, to conduct the project effectively.

BUDGET

The institution will want the budget to correspond to the institution's needs for goods and services, as described in the institutional narrative. Your budget should reflect costs that are necessary and reasonable in today's market place.

Provide your overall one-year budget on the Summary Budget Form (ED 524) and describe the details on the Other Budget Information Form (ED 851A-5).

**DEVELOPMENT GRANT
UNDER THE STRENGTHENING INSTITUTIONS PROGRAM, THE
AMERICAN INDIAN TRIBALLY CONTROLLED COLLEGES AND
UNIVERSITIES PROFRAM, THE ALASKA NATIVE-SERVING
INSTITUTIONS PROGRAM, AND THE NATIVE HAWAIIAN-
SERVING INSTITUTIONS PROGRAM**

INSTRUCTIONS

The application for a development grant should consist of two parts:

Part I includes an Institutional Narrative and a Comprehensive Development Plan (CDP).

Part II includes a Description of the Activity (the solution to a problem identified in the CDP) to be conducted under the project and a Plan for Project Management and Evaluation.

NOTE: The Department suggests that institutions limit the length of their applications for development grants as follows: Part 1 – Institutional Narrative – 5 pages; Part 1 – Comprehensive Development Plan – 25 pages; and Part II – 25 pages, excluding budgets. See page 10 for type requirements.

PART I -- OVERVIEW OF INSTITUTION

INSTITUTIONAL NARRATIVE

In the institutional narrative, familiarize the reader with your institution and provide a frame of reference for the CDP and the activity(ies) presented in the application.   Provide a concise description of important, distinguishing features of the institution, including:

- THE MISSION STATEMENT: If the institution's mission statement does not include a description of the level (2-year/4-year), control (private/public) and affiliation of the institution, and its primary service population and programs of study offered (e.g., liberal arts, technical programs), include this information.

- STUDENT BODY CHARACTERISTICS: Include the number of students, either full-time equivalent or headcount - and the racial, ethnic, age, and gender breakdown.

  NOTE: When reporting racial and ethnic data, the applicant must adhere to the Federal standards for the classification of race and ethnicity, as published in the Federal Register on October 30, 1997 (62 Federal Register 58781-58790). See Appendix XXIV.

- FACULTY CHARACTERISTICS: Include the number of full-time and adjunct faculty and faculty to student ratio.

COMPREHENSIVE DEVELOPMENT PLAN NARRATIVE (CDP)

Review the specific program regulations that describe the CDP, its content, and evaluation. *See* 34 CFR 607.8 and 607.22, located in Appendix III.

Use the following headings and provide the information in the order delineated:

A. ANALYSIS OF INSTITUTIONAL STRENGTHS, WEAKNESSES AND SIGNIFICANT PROBLEMS AND DESCRIPTION OF ANALYSIS PROCESS

Describe and analyze the strengths, weaknesses and significant problems of the institution -

1. Academic Programs,
2. Institutional management, and
3. Fiscal stability

It will be from these weaknesses and problems that the institution will later choose those matters to be addressed with grant funds.

One way to state a problem is to state what is "too high" or what is "too low". For example, the percentage of freshmen students who fail 4 gateway courses is too high. When the institution states the problem in this manner, the later statement of objectives becomes fairly obvious. *E.g.*, "to decrease, from 42% to 30%, the percentage of freshmen students who fail 4 gateway courses."

Avoid problem statements that declare the problem as "the lack of " or " the need for" the very solution that the institution proposes for funding. *E.g.*, "The problem with our academic programs is that there is a lack of or need for student services outside the classroom. Thus, we propose an activity to establish those student services." This type of statement usually contains circular reasoning. Because goods or services do not exist does not necessarily justify a need for

them. In the example given, the problem may instead be that "too high a percentage of students fail several key, gateway courses." The solution, chosen from among several alternatives, may be "to develop certain types of student services outside the classrooms.

Document the weaknesses and significant problems with data, reports, evaluations or studies that demonstrate that the institution has objectively and thoroughly analyzed these issues. It is important that the institution differentiates between a problem of national scope and the particular problems existing at your institution. While national statistics may provide useful information, the institution wants to focus on presenting pertinent information about your specific institution and its community. Your description and analysis of the institution's weaknesses and significant problems should be full enough to answer questions such as:

> How critical is the weakness or problem relative to the consequence of not taking immediate action to resolve it?

> What is the probable cause of the weakness or problem?

> Has enough analysis been done concerning the nature and extent of the weakness or problem to suggest the probable solution?

Describe the process used to formulate the above information and provide evidence of the nature and extent of involvement in the process by major constituencies (*e.g.*, faculty, staff, students, community, industry, or the like) of the institution. The institution may rely upon information that is prepared for other purposes, such as a self-study for accreditation, provided that the process used to develop the information involved the major constituencies' representatives and represents the current situation at the institution.

B. KEY, OVERALL GOALS FOR THE INSTITUTION

Based on a comprehensive analysis of the institution's strengths, weaknesses and significant problems, delineate a few, key, overall goals regarding the institution's academic programs, institutional management and fiscal stability. *E.g.*, "By the end of the grant, XYZ University will have significantly reduced student attrition."   Indicate by an asterisk (*) those goals that will be addressed by activities proposed in the application.

C. MEASURABLE OBJECTIVES FOR THE INSTITUTION

Provide a measurable objective(s) related to reaching each of the above identified, key, overall goals for the institution. Achieving the objectives outlined should contribute to the growth and self-sufficiency of the institution.

Include a time frame for achieving each objective; it should not exceed the five-year project period.

D. INSTITUTIONALIZING PRACTICES AND IMPROVEMENTS

Describe the realistic methods the institution will use - if awarded a development grant - to ensure that the institution will be able to integrate practices and improvements developed under the grant project with institutional operations and, if appropriate, to continue them after the expiration of the grant. For example, describe specific actions, and time lines for the actions, that the institution will take to obtain approval from appropriate internal and/or external governance authorities to conduct new or revised curricula, use new intervention strategies, etc.

Describe the resources that the institution will need to institutionalize newly developed practices and improvements and, most importantly, how the institution will realistically provide for these resources. In particular, discuss how the institution will get institutional funds to pay for operational costs such as personnel, maintenance, and equipment upgrades. One way of your ensuring, for example, institutionalization of positions to be continued after the grant is for your institution itself to pay a percentage of the salary during the grant and to increase that percentage during years 2, 3, 4, and 5.

PART II -- DEVELOPMENT GRANT SPECIFICS

PRIOR TITLE III SUPPORT

If applicable, briefly describe all activities that the institution carried out under a previous Title III Part A program grant that expired within the past five years (ending on or after September 30, 1995.) If applicable, briefly justify not completing any activities funded under the previous grant. If the institution has not received a Title III Part A Program grant during this time period, simply state that that has been the case.

RANKING ACTIVITIES

If the institution is requesting funding for more than one activity, rank the activities - excluding project management and evaluation - in the order of preferred funding.

Briefly identify --

- The activities that, if funded separately, would be a sound investment of Federal funds; and
- The activities that would be a sound investment of Federal funds only if funded in combination with one or more of the proposed activities.

NARRATIVE FOR THE ACTIVITY

If the institution requests funds for more than one activity, the institution may propose different activity starting and ending dates and the institution may vary the duration of activities. For example, developing a new curriculum may take the institution only three years while it may take the institution five years to develop a new management information system.

Review the regulations describing allowable and unallowable grant activities and the selection criteria used to evaluate applications, 34 CFR 607.10 and 607.22, located in Appendix III. Note: a proposed activity should address a critical problem that the CDP describes as hindering institutional growth and self-sufficiency.

ACTIVITY TITLES

Title each activity in such a way that the reader knows your focus. Allowable activities include, but are not limited to, the following:

- Faculty Development;
- Funds Management;
- Administrative Management;
- Development of Academic Programs;
- Improvement of Academic Programs;
- Acquisition of equipment for use in strengthening funds management;
- Acquisition of equipment for uses in strengthening academic Programs;
- Student Services; and
- Joint use of Facilities (e.g., libraries, and laboratories).

The HEA lists the allowable activities for the Strengthening Institutions Program and the American Indian Tribally Controlled Colleges and Universities Program. *See* HEA, Sections 313 and 316, located in Appendix II.

ACTIVITY OBJECTIVES

Using the Activity Objectives and Performance Indicators Form (ED 851A-2), state annual objectives for each activity, which, when taken together with their performance indicator(s), are measurable and realistic (not too high, not too low). The objectives of the activity should derive from a problem or weakness described in the CDP.

Avoid identifying process objectives (e.g., "To establish a college-wide committee" - whose measurement is "the committee was formed."). If the objective begins with words such as "to provide", "to develop" or "to establish", the institution is likely to be describing a process or a task rather than an outcome objective. The institution should identify processes or tasks under the Implementation Strategy, discussed below.

If the objective has words such as "to increase" or "to decrease", the institution is more likely to be using a genuine, outcome objective.

Provide objectives and performance indicators for each activity and for each year for which the institution is requesting funds for an activity.

Reproduce or create by computer a duplicate of the Activity Objectives and Performance Indicators Form (ED 851A-2), as necessary.

NARRATIVE SHOWING RELATIONSHIP OF ACTIVITY OBJECTIVES TO THE CDP

In narrative form, describe how meeting the objectives of each activity will attack and, perhaps, even solve a problem identified in the CDP. Indicate the impact that meeting the objectives will have on attaining your institution's goals for its academic programs, institutional management, or fiscal stability.

IMPLEMENTATION STRATEGY AND TIMETABLE IN CHART FORM

Using the Implementation Strategy and Timetable Form (ED 851A-3), which the institution may reproduce or create on your computer as necessary, chart an implementation strategy to meet the objectives proposed for each year for which funds are requested and for each activity. Use time frames for completing a task that are realistic. Chart the five years using the budget period of October 1 to September 30.

Using the Implementation Strategy and Timetable Form (ED 851A-3), describe in a comprehensive, sequential and clear manner who will do what, and how it will be done, to meet the objectives of each activity.

Identify by title on the form the primary participants who will carry out the tasks to meet the objectives. Describe on the form the methods that project personnel will use to perform the tasks and the expected results of performing the tasks.

NARRATIVE OF IMPLEMENTATION STRATEGY RATIONALE

Provide a narrative explaining why the institution chose the specific method for implementing the activity. Explain how it was determined that this method would be most effective. Cite relevant studies or projects that the institution reviewed, experts the institution consulted, etc.

If the institution considered alternatives to the selected method, state the reason(s) why the institution rejected the alternative implementation strategies.

NARRATIVE REGARDING KEY PERSONNEL

Key personnel include the people funded under the grant who bear a substantive responsibility for developing and achieving the objectives of the project. Key personnel may include a position not funded under the grant but funded with the applicant's own funds (*e.g*., activity director). Key personnel do not include clerical or secretarial positions.

Provide a position description for any key position(s) within an activity. The position description should include the required qualifications - education, experience, training -and the specific duties of the position. The duties should be directly related to the stated purposes and objectives of the activity.

Indicate in the position description the percentage of time each key person will commit to the project and the time commitment should be realistic relative to the duties to be performed. Also note the percentage of time each key person will commit to the activity on the Activity Budget Form (ED 851A-4).

If a specific individual has already been designated for a key position, provide a resume for such key personnel, particularly for those persons who will be supported by grant funds.

The resumes of key activity personnel should reflect the person's education, training, and experience - as related to the objectives of the activity.

ACTIVITY BUDGET

Review the program regulations, 34 CFR 607.10 and 607.30, located in Appendix III, for guidance on the allowable activities and costs. *See also,* page 6.

NOTE: An institution may not use grant award funds:

- to recruit students,
- to serve high school students,
- to carry out activities that are operational rather than developmental,
- to carry out student activities such as entertainment, cultural or social enrichment programs, student publications, social clubs or associations,
- to pay for organized fund raising,
- to cover indirect costs.

For all costs, demonstrate that they are reasonable in today's market and necessary to accomplish activity objectives. In particular, the institution should justify any cost exceeding $25,000 -- excluding salaries and fringe benefits.

Using the Activity Budget Form (ED 851A-4) and the Other Budget Information Form (ED 851A-5), provide detailed, itemized budgets for each activity and for project management/evaluation and for each year for which grant funds are sought.   Complete a separate ED 851A-4 and ED 851A-5 for each activity and for project management/evaluation. If the institution fails to provide details, we may not be able to determine if the costs requested are necessary and reasonable and we may disallow such costs.

PROJECT MANAGEMENT PLAN NARRATIVE

The project management plan is an integral part of the project. For the project management plan, do not complete an Activity Objectives and Performance Indicators Form (ED 851A-2), and do not complete an Implementation Strategy and Timetable Form (ED 851A-3).

Provide a position description for the Title III coordinator position. Include in it the required qualifications --education, experience, training -- and the specific duties of the position. Directly relate the duties to the stated purposes and objectives of the project.

Indicate in the position description and on the Activity Budget Form (ED 851A-4) the percentage of time the Title III Coordinator will commit to the project. Make the time commitment realistic, not too high nor too low, relative to the duties to be performed.

Note: The time commitment of Title III Coordinators at currently existing projects varies considerably. One project focused on developing a management information system, for example, may have a coordinator who is the director of technology in the ordinary hierarchy of the college. He or she may allot 10% time to coordinate the project and the 10% may well be paid by the college. On the other hand, a coordinator at a project focused on faculty development might be a newly hired instructional developer on 50% time commitment paid for with Title III funds. Carefully think through the management structure and time commitment that will work best at your institution and specify the reasons for your choice.

If the institution has already chosen a specific individual for the Title III Coordinator position, provide a resume for the person. Include in the resume the person's education, training, and experience as related to the objectives of the project.

Describe the procedures the project coordinator will use to manage and monitor project progress. Describe the procedures the institution will use to provide information to key administrators so that they might integrate project activities with related, on-going institutional activities.

Describe the administrative authority of the project coordinator over the activity directors. The activity director normally is the primary person responsible for accomplishing a specific activity's objectives. Describe the administrative authority of the activity director over subordinates.

Chart the lines of authority of the project coordinator to key institutional decision makers, including the president.

Do not describe the fiscal and accounting procedures in the narrative as the institution will, instead, certify on the Assurances Form that the institution will follow adequate fiscal and accounting procedures.

EVALUATION PLAN NARRATIVE

Describe in detail the project's evaluation plan, including the who, what, when and how. The evaluation plan, if followed, should produce a valid assessment of the implementation strategies. It should also result in annual, quantifiable evidence of the attainment of objectives for each activity and of goals in the CDP.

Describe the data elements and data collection procedures the institution will use to measure attainment of activity objectives and of goals identified in the CDP. Describe also the baseline indicators of progress that the institution will use.

The evaluation plan should describe procedures for analyzing and using both formative and summative data.

While the Department does not require an external evaluation, the institution may find it useful to hire an outside expert to periodically evaluate the project or a particular activity. If the institution proposes hiring an external evaluator, it must justify the cost by stating the reasons for using a consultant.

BUDGET FOR PROJECT MANAGEMENT/EVALUATION

Using the Activity Budget Form (ED 851A-4) and the Other Budget Information Form (ED 851A-5), provide one detailed budget for management/evaluation costs for each year for which grant funds are sought. If the institution fails to provide details, we may be unable to determine if the costs requested are necessary and reasonable and we may disallow the costs.

PROJECT SUMMARY BUDGET

Using the Summary Budget Form (ED 524), prepare a summary budget for the entire project that totals all the costs by category for each year of the grant. Complete a separate Other Budget Information Form (ED Form 851A-5) itemizing items common to the entire project summary budget.

Before completing any budget forms, read carefully the specific instructions contained in this booklet. Please follow those instructions and check for accuracy for all budget totals within an activity budget and between the activity budget(s) and the summary budget. If any inaccuracies occur, the Education Department may choose the lesser of two budget figures and the applicant institution may lose money that could have been theirs.

INSTITUTIONAL ASSURANCES AND CERTIFICATIONS

Complete the Institutional Assurances and Certification forms, located in this booklet. Type the name of your institution in the upper-right or-left margin of the form.

ENDOWMENT FUND ASSURANCE

An applicant for a development grant under the Strengthening Institutions Program or American Indian Tribally Controlled Colleges and Universities Program who proposes to use grant funds to establish or increase the institution's endowment fund must complete ED Form 851A-6.

AMERICAN INDIAN TRIBALLY CONTROLLED COLLEGES AND UNIVERSITIES PROGRAM

- An applicant for a development grant program under the American Indian Tribally Controlled Colleges and Universities Program must meet the legal definition of a "tribal college or university", set forth in the statute.

- In addition to submitting the required narrative and forms, discussed above, institutions applying for grants under the American Indian Tribally Controlled Colleges and Universities:

    A Tribal College or University must submit a five-year plan for improving the assistance provided by the institution to Indian students, increasing the rates at which Indian secondary school students enroll in higher education, and increasing overall postsecondary retention rates for Indian students.

COOPERATIVE ARRANGEMENT DEVELOPMENT GRANT APPLICATION UNDER THE STRENGTHENING INSTITUTIONS PROGRAM, THE AMERICAN INDIAN TRIBALLY CONTROLLED COLLEGES AND UNIVERSITIES PROGRAM, THE ALASKA NATIVE-SERVING INSTITUTIONS PROGRAM, AND THE NATIVE HAWAIIAN-SERVING INSTITUTIONS PROGRAM

SUPPLEMENTAL INSTRUCTIONS

A cooperative arrangement is an arrangement to carry out allowable grant activities between a Title III eligible institution and another Title III eligible or ineligible institution, under which the cooperating institutions combine their resources to better achieve program goals and avoid costly duplication of efforts.

In addition to the development grant instructions located in this booklet, an applicant for a cooperative arrangement development grant must follow the instructions below:

COORDINATING INSTITUTION

Institutions teaming up in a cooperative arrangement must designate a Title III eligible institution to be the coordinating institution. The coordinating institution is responsible for the use of all grant funds and for ensuring that the project is carried out in accordance with Federal regulations. Each participating institution is responsible for carrying out the activities or tasks it agrees to perform and for using the funds that it receives in accordance with Federal requirements that apply to the grant.

The coordinating institution is the only applicant that completes the Application for Federal Education Assistance Form (ED 424).

Place the following three items -- Form ED 851A-1, the letters of commitment, and the narrative justification -- immediately after the project abstract. *See,* page 10.

INSTITUTIONS IN A COOPERATIVE ARRANGEMENT FORM (ED 851A-1)

List all institutions participating in the cooperative arrangement - including the coordinating institution - on the Participating Institutions in a Cooperative Arrangement Form (ED 851A-1).

LETTERS OF COMMITMENT

The president of each institution participating in a cooperative arrangement must provide a letter of commitment that includes statements that:

1. The submitted application accurately reflects the terms of the cooperative arrangement;

2. The institution will carry out its part in implementing the project, if the request for Federal Funds is granted;

3. The institution will comply with all assurances and Federal regulations applicable to a grantee; and,

4. The budget correctly represents the institution's share of the overall project funds.

The president of the participating institution must sign and date this letter.

JUSTIFICATION FOR FUNDING UNDER A COOPERATIVE ARRANGEMENT

Describe in narrative form the rationale for each participating institution's decision to request funds to carry out activities as part of a cooperative arrangement, rather than individually.

Among cooperative arrangement applications, we give priority for funding to those arrangements that are judged geographically and economically sound.

The coordinating institution must provide evidence that justifies that the cooperative arrangement is geographically sound. A cooperative arrangement is judged geographically sound if faculty and staff at the participating institutions have very good access to one another, either due to the institutions being relatively close to one another, or due to technology.

Each participating institution must provide evidence that justifies that the cooperative arrangement is economically sound. The institution will want to lay out evidence that each proposed activity will be carried out more efficiently and effectively than would be possible if each participating institution were awarded a grant individually.

COMPREHENSIVE DEVELOPMENT PLANS (CDP) UNDER A COOPERATIVE ARRANGEMENT

Under a cooperative arrangement, each Title III eligible participating institution must provide its own individual CDP. If your institution is not Title III eligible, the institution need not submit a CDP even though your institution will be involved in the activities of the application.

Review the program regulations, 34 CFR 607.12, and 34 CFR 607.22 (a), located in Appendix III, and the specific instructions for preparing an application for a development grant, set forth on pages 16-19, of this booklet, for additional guidance on the CDP.

ACTIVITY NARRATIVE UNDER A COOPERATIVE ARRANGEMENT

In the activity narrative, relate the proposed activity to the problems to be solved and the goals of the CDP of each participating institution.

Respond to the appropriate selection criteria regarding activities for development grants described in the program regulations, 34 CFR 607.22, located in Appendix III.

The coordinating institution provides the single response to these selection criteria, incorporating, where appropriate, the roles of the participating institutions.

BUDGET INFORMATION UNDER A COOPERATIVE ARRANGEMENT

In a cooperative arrangement application, the coordinating institution and each Title III eligible participating institution must submit the Activity Budget Form (ED 851A-4) - for each activity for which grant funds are sought - detailing how its portion of the funds will be expended.

The applicants will use the other Budget Information Form (ED 851A-5) to describe and itemize all costs for each year. The eligible participating institutions and the coordinating institution should each complete a separate ED 851A-5 for each activity - for each year of the activity - and for project management/evaluation.

The coordinating institution should prepare a total, summary budget that totals all the costs for all institutions-by category-for each of the years of the grant. The applicant will provide this information on the Summary Budget Form (ED 524).

The coordinating institution should also complete a separate Other Budget Information Form (ED 851A-5) for the summary budget.

INSTITUTIONAL ASSURANCES AND CERTIFICATIONS UNDER COOPERATIVE ARRANGEMENT

Each participating institution must complete the Institutional Assurances and Certification forms.

Type the name of each institution in the upper - right or - left margin of the forms.